UNITED STATES DISTRICT COURT MIDDLE DISTRICT OF TENNESSEE NASHVILLE DIVISION

SECURITIES AND EXCHANGE COMMISSION,)	
Plaintiff,)	No. 3:20-cv-1064
v.)	110. 5.20-07-1004
CAPWEALTH ADVISORS, LLC et al)	
Defendants.)	

VERDICT FORM

We, the jury, unanimously respond as follows:

1. Do you find by a preponderance of the evidence that Timothy J. Pagliara engaged in conduct that operated as a fraud or deceit upon any client in violation of Section 206(2) of the Investment Advisers Act?

Yes

No

2. Do you find by a preponderance of the evidence that Timothy R. Murphy engaged in conduct that operated as a fraud or deceit upon any client in violation of Section 206(2) of the Investment Advisers Act?

Yes___ No ___

3. Do you find by a preponderance of the evidence that CapWealth Advisors, LLC engaged in conduct that operated as a fraud or deceit upon any client in violation of Section 206(2) of the Investment Advisers Act?

Yes__ No ___

4. Do you find by a preponderance of the evidence that CapWealth Advisors, LLC did not adopt and implement written policies and procedures reasonably designed to prevent violation of the Investment Advisers Act in violation of Section 206(4) of the Investment Advisors Act and Rule 206(4)-7 there-under?

Yes___No__

